

A

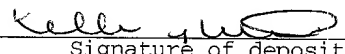
MERL-1255

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

"EXPRESS MAIL" mailing label number EJ691143878US  
Date of Deposit: November 22, 1999

I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Kelli J. Withrow  
Printed name of depositor

  
Signature of depositor

\* \* \*

TRANSMITTAL LETTER

The Assistant Commissioner for Patents  
Washington, D.C. 20231

**ATTN: BOX PATENT APPLICATION**

Sir:

Transmitted herewith for filing is the patent application of:

INVENTORS: Baback Moghaddam  
Ming-Hsuan Yang

FOR: GENDER CLASSIFICATION WITH SUPPORT VECTOR MACHINES

Enclosed are:

- [16] pages of specification, claims and abstract
- [2] sheets of formal drawings
- [X] Declaration and Power of Attorney
- [X] Assignment of the application to Mitsubishi Electric Information Technology Center America, Inc. (ITA)
- [X] Information Disclosure Statement
- [ ] Preliminary Amendment

The filing fee is calculated as follows:



09444689 11/22/99

CLAIMS AS FILED				
	NUMBER FILED	NUMBER EXTRA	LARGE ENTITY	AMOUNT
Basic Fee		0	\$ 760.00	\$ 760.00
Total Claims	5	-20 =	x18.00	
Independent Claims	1	-3 =	\$78.00	
Assignment Recording Fee			40.00	40.00
Multiple Dependent Claim Fee			260.00	
Other				
TOTAL FEE				\$ 800.00

- [X] Please record the accompanying Assignment.
- [X] Please charge Deposit Account No. 50-0749 in the amount of \$800.00.
- [X] The Assistant Commissioner for Patents is hereby authorized to charge any additional fees due or credit any overpayment to Deposit Account No. 50-0749.

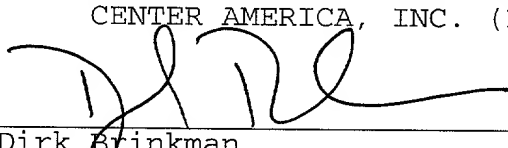
All future correspondence should be addressed to:

Patent Department  
Mitsubishi Electric Information Technology  
Center America, Inc.  
201 Broadway  
Cambridge, Massachusetts 02139

Duplicate copies of this letter are enclosed.

Respectfully submitted,  
MITSUBISHI ELECTRIC INFORMATION TECHNOLOGY  
CENTER AMERICA, INC. (ITA)

By:

  
Dirk Brinkman  
Reg. No.: 35,460  
Attorney for Assignee

Mitsubishi Electric Information Technology  
Center America, Inc.  
201 Broadway  
Cambridge, Massachusetts 02139  
(617) 621-7539

EXPRESS MAIL number: EJ691143878US

Date of Deposit: November 22, 1999

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents; Washington, DC 20231.

Kelli J. Withrow

Typed name of person mailing paper or fee

Kelli J. Withrow

Signature

=====

APPLICATION FOR UNITED STATES LETTERS PATENT

=====

Title: GENDER CLASSIFICATION WITH SUPPORT VECTOR MACHINES

Inventors: Baback Moghaddam  
Ming-Hsuan Yang

## Gender Classification with Support Vector Machines

### Field of the Invention

The present invention deals with classifying facial images, and more particularly to classifying the facial images according to gender.

5

### Background of the Invention

Although humans are extremely good at classifying gender from facial images, experiments have shown that most people have difficulty in classify  
10 gender from images where the faces are hairless. Furthermore, error rates in gender classification using low resolution facial images increases almost ten fold.

It would represent a major commercial advantage if computers could have  
15 reliable vision capabilities for classifying a person's gender, particularly from low resolution images. Although gender classification has been investigated from both a psychological and computational perspective, relatively few learning based vision methods are known for gender classification.

20

Golomb et al. in "SEXNET: A neural network identifies sex from human faces," Advances in Neural Information Processing Systems, pp. 572-577, 1991, described a fully connected two-layer neural network to identify gender from human face images consisting of 30x30 pixel images.

25

Cottrell et al. in "Empath: Face, emotion, and gender recognition using holons," Advances in Neural Information Processing Systems, pp. 564–571, 1991 also applied neural networks for face emotion and gender recognition. They reduced the dimensionality of a set of 4096x4096 images to 40x40 via an auto-encoder network. Those vectors were then given as inputs to another one layer network for training and recognition.

Brunelli et al, in "HyperBF networks for gender classification," Proceedings of the DARPA Image Under-standing Workshop, pp. 311–314, 1992 developed HyperBF networks for gender classification in which two competing RBF networks, one for male and the other one for female, were trained using sixteen geometric features, e.g., pupil to eyebrow separation, eyebrow thickness, and nose width, as inputs.

Instead of using a raster scan vector of gray levels to represent face images, Wiskott et al. in "Face recognition and gender determination, Proceedings of the International Workshop on Automatic Face and Gesture Recognition, pp. 92–97, 1995 described a system that used labeled graphs of two-dimensional views to describe faces. The nodes were labeled with jets which are a special class of local templates computed on the basis of wavelet transform, and the edges were labeled with distance vectors. They used a small set of controlled model graphs of males and females to encode the general face knowledge.

More recently, Gutta et al. in "Gender and ethnic classification of Face Images," Proceedings of the IEEE International Automatic Face and Gesture Recognition, pp. 194–199, 1998 proposed a hybrid method which consists of ensemble of neural networks (RBFs) and inductive decision trees.

Using computer vision to determine the gender of subject faces can be used in various application areas, such as the gathering of population gender-statistics from patrons at entertainment/amusement/sports parks. Gender classification can also be used by television network viewer-rating studies. Gender specific computer vision can further have application in such fields as automated security/surveillance systems, demographic studies, safety monitoring systems, and human interfaces to computers.

## 10 Summary of the Invention

It is an object of the present invention to classify gender from thumbnail facial images in which only the main facial regions appear, i.e., the images have minimal or no hair information. The motivation for using such images is as follows. Humans can easily and frequently change their hair styles, therefore, facial images cropped to keep only the main facial regions, without hair, will provide a more robust gender recognition method.

The method according to the invention masks images of faces such that as little hair as possible appears in the images. The images are reduced down to thumbnail images to minimize storage requirements. A support vector machine is applied to training images. After a classification discriminator has been trained, faces in test images can be classified.

More specifically, the invention provides a method for classifying images of faces according to gender. Training images of male and female faces are supplied to a vector support machine. A small number of support vectors are

determined from the training images. The support vectors identify a hyperplane. After training, a test image is supplied to the support vector machine. The test image is classified according to the gender of the test image with respect to the hyperplane.

5

### **Brief Description of the Drawings**

Figure 1 is a flow diagram of a gender classification method according to the invention; and

10

Figure 2 is a diagrammatic of a support vector machine hyperplane;

### **Detailed Description of the Preferred Embodiment**

15 Figure 1 shows a method 100 for gender classifying images of human faces according to our invention. Our method takes training facial images 101 as input. The training images can be pre-processed using an automatic face-processing system. The face-processing system normalizes the training images for translation, scale, and rotations. Step 110 performs a multiscale  
20 111 maximum-likelihood estimation to detect faces in the training images.

Step 120 performs a facial feature search with affine warping 121 for geometric shape alignment, and contrast normalization for ambient lighting changes. Step 130 applies a mask to produce full resolution (80x40 pixels)  
25 faceprints 131. Masking removes most of the extraneous features present in the faceprints such as background, and particularly hair. Step 140 sub-samples the full resolution faceprints to obtain a low resolution (21x21

pixels) or “thumbnail” image 141. This part of the face processing system is described in greater detail in United States Patent No. 5,710,833 issued to Moghaddam, et al. on January 20, 1998, incorporated herein by reference.

## 5     **Support Vector Machine**

The thumbnail images are presented to a support vector machines (SVM) 150. SVMs are actually not machines but methods for pattern recognition, regression and other learning problems. SVMs have been known for  
10     decades. SVMs are primarily designed for two-class classification problems, see Vapnik et al. in “Pattern Recognition using Generalized Portrait,” Automation and Remote Control, 24:6, 1963.

As shown in Figure 2, the SVM locates an optimal manifold or hyperplane  
15     200 that leaves the largest possible fraction of data points of the same class (male 210 or female 220) on the same side of the hyperplane 200. Figure 2 shows example data in two-dimensions for the purpose of illustrating the invention. It should be understood that the actual data can have much higher dimensions making the manifold 200 a hyperplane. The SVM 150 also  
20     maximizes the distance or “margins” 201-202 of either class from the hyperplane such that the expected recognition error for the actual samples to be classified is minimized. Maximizing the margins of the hyperplane is equivalent to minimizing the Vapnik-Chervonenkis (VC) dimension of the SVM while constructing the optimal hyperplane. According to the structural  
25     risk minimization inductive principle, a function that describes the training data well and belongs to a set of functions with lowest VC dimension will generalize well regardless of the dimensionality of the input space.



The hyperplane 200 can be represented by a small number of support vectors 203, e.g., circled training samples 203. As a result the SVM provides a compact classifier.

5

Based on this principle, the SVM adopts a systematic approach to find a linear function that belongs to a set of functions with the lowest VC dimension. The SVM also provides non-linear function approximations by mapping the input vectors into a high dimensional feature space where the  
10 hyperplane 200 is constructed. Although there is no guarantee that a linear hyperplane will always exist in the high dimensional feature space, in practice it is possible to construct a linear SVM in a projected space. The following sections describe the vector support machine in greater detail.

15 Given a set of samples  $(x_1, y_1), (x_2, y_2), \dots, (x_l, y_l)$  where  $x_i (x_i \in R^N)$  is the input vector of  $N$  dimension, i.e., the thumbnail images 141, and  $y_i$  is its label ( $y_i \in \{-1, 1\}$ ) for the present recognition problem, the SVM 150 finds the hyperplane 200 as described above. The problem of finding the optimal hyperplane is a constrained optimization problem. We solve the problem by  
20 using quadratic techniques. The optimal hyperplane is in the form:

$$f(x) = \sum_{i=1}^l y_i \alpha_i \cdot k(x, x_i) + b$$

where  $\alpha$  and  $b$  are constants,  $k(.,.)$  is a kernel function, and the sign of  $f(x)$  determines the label of  $x$ . Constructing the optimal hyperplane is equivalent to determining a nonzero  $\alpha_i$ . Any vector  $x_i$  that corresponds to the nonzero  $\alpha_i$   
25 is a supported vector (SV) 203 of the optimal hyperplane 200. As stated

above, the number of supported vectors for defining the hyperplane 200 is small, making the SVM a compact classifier.

For a linear SVM, the kernel function is the simple dot product of vectors in the  $N$  dimensional input space, while the kernel function in a nonlinear SVM projects the samples to an Euclidean feature space of higher dimensions  $M$  via a nonlinear mapping function  $\psi$ :

$$\psi : R^N \rightarrow F^M, M \gg N$$

and construct a hyperplane in  $F$ . We do this because it is more likely to find a linear function in the high dimensional feature space  $F$ .

Using the well known Mercer's theorem, the lengthy calculations for projecting samples into the high dimensional feature space can be significantly reduce by using a suitable function  $k$  such that

$$k(x, x_i) = \psi(x) \cdot \psi(x_i)$$

where  $\psi$  is the nonlinear projection function. Several kernel functions, such as polynomial functions and radial basis functions, see below, are known to satisfy Mercer's theorem.

By using different kernel functions, the SVM can construct a variety of learning machines, some of which coincide with classical architectures. However, this also results in a drawback since we need to find the "right" kernel function while using nonlinear SVMs.

## Classification Techniques

### Radial Basis Function Networks

- 5 A radial basis function network is a method for improved generalization to new data based on regularization theory, please see Poggio et al. in “Networks for approximation and learning,” Proceedings of the IEEE, volume 78, pp. 1481–1497, 1990. One powerful network is the RBF with  $K$  Gaussian basis functions of the form:

$$10 \quad \begin{aligned} f(x) &= \sum_i^K \omega_i G(x) + b \\ &= \sum_i^K \omega_i \frac{1}{(2\pi)^{N/2} \sigma_i^N} \exp\left(-\frac{\|x - c_i\|^2}{2\sigma_i^2}\right) + b \end{aligned}$$

where the  $G$  is the  $i$ th Gaussian basis function with center  $c_i$  and variance  $\sigma^2$ . The weight coefficients  $w_i$  combines the basis functions into a single output value and  $b$  is a bias term.

- 15 Training a Gaussian RBF network for a given learning task involves determining the total number of Gaussian basis functions, locating the Gaussian basis function centers, computing the cluster variance for each basis function, and solving for the weight coefficients and bias. With careful  
20 design on  $K$ ,  $c_i$ , and  $\alpha_i$ , Gaussian RBF networks are very powerful in many recognition problems.

- In a conventional RBF network, the number of neurons is predetermined before training. On the other hand, the number of Gaussian basis for a large  
25 ensemble-RBF network is iteratively increased until the mean square error is

below a threshold. The centers of the Gaussian basis for both networks are determined by  $k$ -means clustering.

In contrast, SVM with RBF kernel automatically determines the number and locations of the Gaussian centers, weights and threshold that minimize an upper bound on the expected test error.

### Fisher Linear Discriminant

- 10 Fisher Linear Discriminant (FLD) is an example of a class specific method that finds the optimal projection for gender classification. Rather than finding a projection that maximizes the projected variance, FLD determines a projection,  $y = W_{FLD}^T x$ , that maximizes the ratio between the between-class (variance) and the within-class scatter (variance). Consequently, 15 classification is simplified in the projected space.

Consider a  $c$ -class problem where the between-class scatter matrix is defined as:

$$S_B = \sum_{i=1}^c N_i (\mu_i - \mu)(\mu_i - \mu)^T$$

- 20 and the within-class scatter matrix be defined as:

$$S_W = \sum_{i=1}^c \sum_{x_k \in X_i} (x_k - \mu_i)(x_k - \mu_i)^T$$

- where  $\mu$  is the mean of all samples,  $\mu_i$  is the mean of class  $X_i$ , and  $N_i$  is the number of samples in class  $X_i$ . We chose an optimal projection  $W_{FLD}$  as the matrix with orthonormal columns which maximizes the ratio of the 25 determinant of the between-class scatter matrix of the projected samples to

the determinant of the within-class scatter matrix of the projected samples,  
i.e.,

$$W_{FLD} = \arg \max_w \frac{|W^T S_B W|}{|W^T S_W W|} = [\omega_1 \omega_2 \dots \omega_m]$$

where  $\{\omega_i \mid i = 1, 2, \dots, m\}$  is the set of generalized eigenvectors of  $S_B$  and  $S_W$ ,  
5 corresponding to the  $m$  largest generalized eigenvalues  $\{\lambda_i \mid i = 1, 2, \dots, m\}$ .

However, the rank of  $S_B$  is  $c-1$  or less. Thus, the upper bound on  $m$  is  $c-1$ . To  
avoid the singularity problem of  $SW$ , we apply principal component analysis  
(PCA) to first reduce the dimension of the feature space to  $N_c$ , and then  
apply the standard FLD to reduce the dimension to  $N - c$ , and then we apply  
10 the standard FLD to reduce the dimensions of  $c - 1$ .

We use a Gaussian to model the distribution of projected samples of each  
male and female class in  $c-1$  dimensional space. We then determine the class  
label of a sample on the Mahalanobis distances to the centers of these two  
15 classes. The Mahalanobis distance is a very useful way of determining the  
"similarity" of a set of values from an "unknown" sample to a set of values  
measured from a collection of "known" samples. We use the Mahalanobis  
distance method because it is very sensitive to inter-variable changes in the  
training data. In addition, because the Mahalanobis distance is measured in  
20 terms of standard deviations from the mean of the training samples, the  
reported matching values give a statistical measure of how well the unknown  
sample matches (or does not match) the original training data.

## Linear and Quadratic Classifiers

If  $x$  is a sample in our two gender class problem, then the decision boundary of a quadratic classifiers is given by a quadratic form in  $x$  using the Bayes decision rule for minimum error. If the distribution of each class is a Gaussian, then the decision rule for a quadratic classifier is:

$$f(x) = \frac{1}{2}(x - \mu_1)^T \Sigma_1^{-1}(x - \mu_1) - \frac{1}{2}(x - \mu_2)^T \Sigma_2^{-1}(x - \mu_2) + \frac{1}{2} \ln \frac{|\Sigma_1|}{|\Sigma_2|}$$

where  $\mu_i$  and  $\Sigma_i$  ( $i = 1, 2$ ) are the mean and covariance matrix in a Gaussian distribution, respectively.

A linear classifier finds a linear discriminator with the assumption that  $\Sigma_1 = \Sigma_2 = \Sigma$ , which simplifies the above equation into:

$$f(x) = (\mu_2 - \mu_1)^T \Sigma^{-1} x + \frac{1}{2} (\mu_1^T \Sigma^{-1} \mu_1 - \mu_2^T \Sigma^{-1} \mu_2)$$

For both classifiers, the sign of  $f(x)$  determines the class to which the sample  $x$  belongs. e.g., positive female, and negative male.

## Experimental Results

In order to determine the effectiveness of the present invention, we trained with 1496 images, and tested with 259 images. We used high and low resolution images, 80x40 and 21x12 pixels, respectively. Each image was represented by a raster scan eight-bit vector. With the RBF kernel, the overall error rate for classifying low resolution thumbnail images was about

3.4%. This is significantly better than error rates obtained with prior art gender classifiers. We have also applied our classifier to high resolution images. It is worth noting that our method works equally well in both low and high resolution images with only 1% error rate difference. This demonstrates a degree of robustness and relative scale invariance of our method.

Table A below compares error rate percentages of prior art classifiers with the SVM classifiers (**bold**) of the present invention. The error rates percentages are for overall results, and male and female error rates in rank order.

**Table A**

Classifier	Overall	Male	Female
<b>SVM with RBF kernel</b>	<b>3.38</b>	<b>2.05</b>	<b>4.79</b>
<b>SVM with cubic polynomial kernel</b>	<b>4.88</b>	<b>4.21</b>	<b>5.59</b>
Large ensemble of RBF	5.54	4.59	6.55
Classical RBF	7.79	6.89	8.75
Quadratic classifier	10.63	9.44	11.88
Fisher linear discriminant	13.03	9.44	13.78
Nearest neighbor	27.16	26.53	28.04
Linear classifier	58.95	58.47	59.45

In order to calibrate the performance of our classifiers, we used human subject to classify the high and low resolution images. All subjects were asked to classify the gender from the face images, presented in random order, as best as they can without time constraints. For high resolution  
5 images, the overall error was about 6.5%, and for low resolution images the error rate was about 30%. These experiments clearly show that our method performs significantly better than humans in both high resolution and low resolution gender classification. It is not surprising that human subjects perform far better with high resolution images than with low resolution  
10 images. Surprisingly, our method perform almost equally well in both cases.

Although the invention has been described by way of examples of preferred embodiments, it is to be understood that various other adaptations and modifications may be made within the spirit and scope of the invention.  
15 Therefore, it is the object of the appended claims to cover all such variations and modifications as come within the true spirit and scope of the invention.



## Claims

We claim:

- 1 1. A method for classifying images of faces according to gender, comprising  
2 the steps of:
  - 3 supplying a vector support machine with a plurality of training  
4 images, the training images including images of male and female faces;  
5 determining a plurality of support vectors from the training images for  
6 identifying a hyperplane;  
7 supplying the support vector machine with a test image; and  
8 classifying the gender of the test image with respect to the hyperplane.
- 1 2. The method of claim 1 further comprising the steps of:
  - 2 scaling the training images to locate the faces; and  
3 warping the scaled images to locate facial features.
- 1 3. The method of claim 2 wherein the facial features include hair, and further  
2 comprising the steps of:
  - 3 masking the scaled images to reduce the amount of hair.
- 1 4. The method of claim 1 further comprising the step of:
  - 2 reducing the resolution of the training images and the test image by  
3 sub-sampling before supplying the images to the support vector machine.

1

- 2 5. The method of claim 1 further comprising the step of:  
3 maximizing a distance between the support vectors and error margins  
4 of the hyperplane.

### **Abstract of the Disclosure**

A method classifies images of faces according to gender. Training images of male and female faces are supplied to a vector support machine. A small number of support vectors are determined from the training images. The support vectors identify a hyperplane. After training, a test image is supplied to the support vector machine. The test image is classified according to the gender of the test image with respect to the hyperplane.

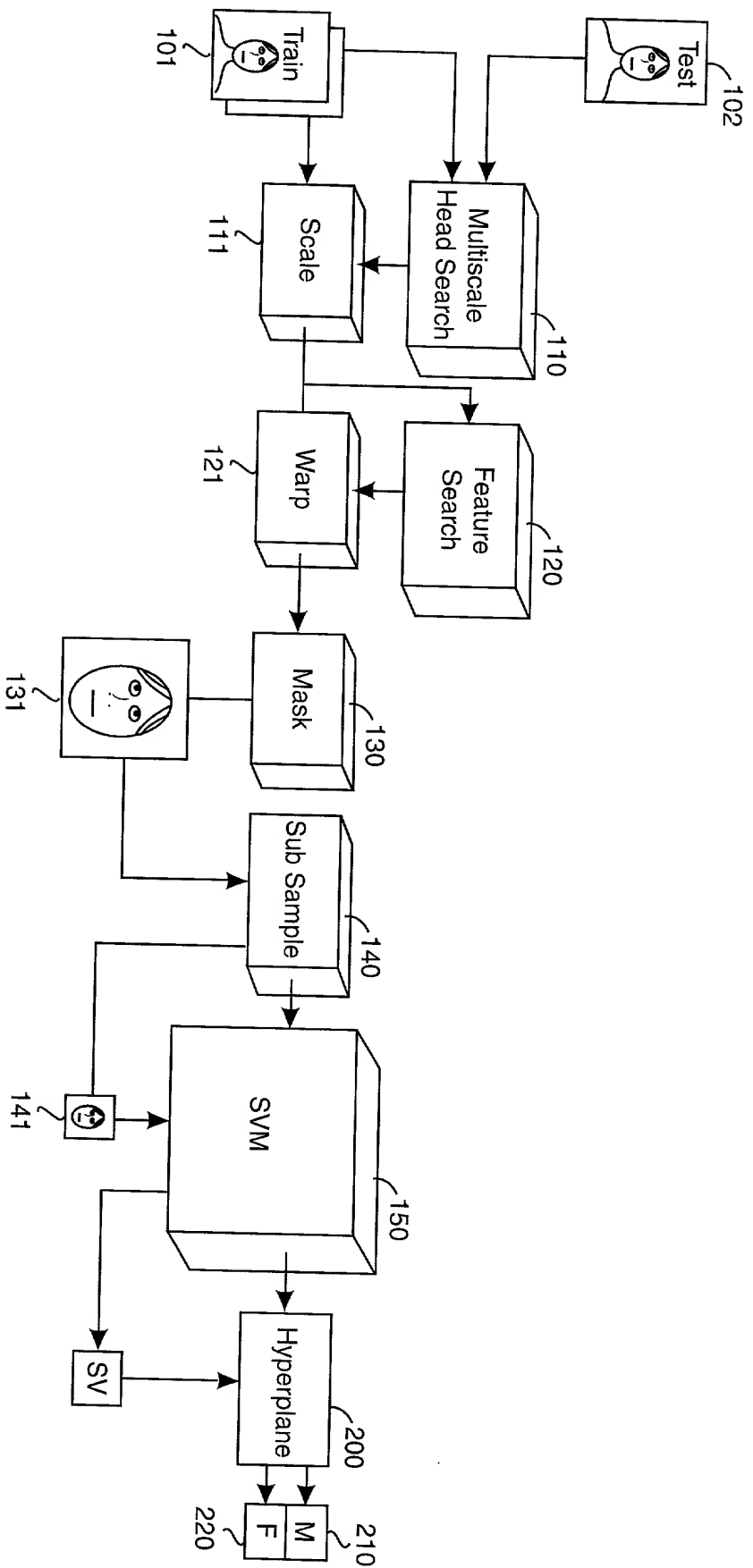


FIG. 1

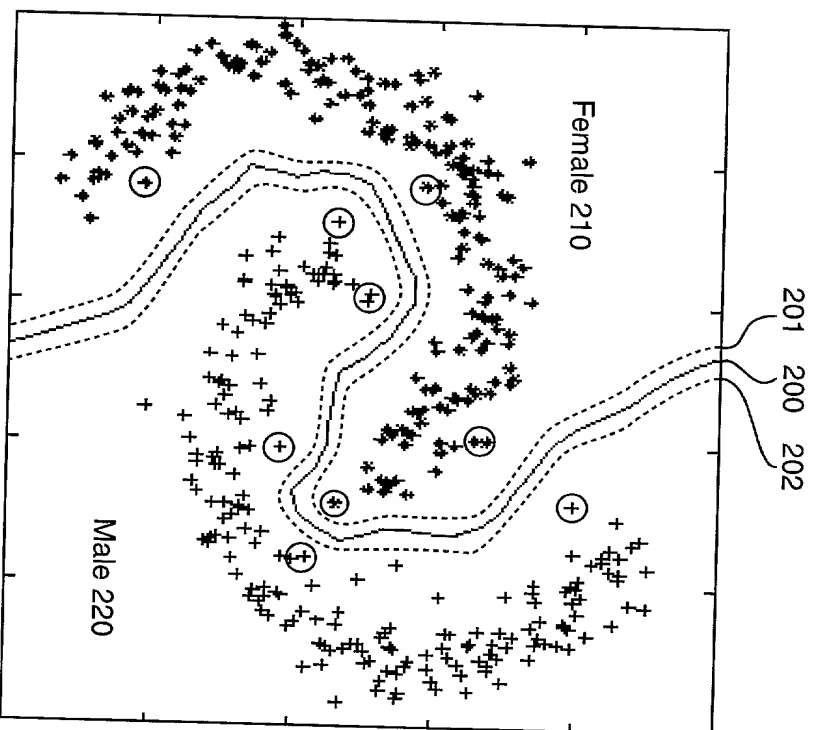


FIG. 2

**DECLARATION AND POWER OF ATTORNEY**

**DECLARATION:**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe, the below named inventors are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention for GENDER CLASSIFICATION WITH SUPPORT VECTOR MACHINES, the specification of which is attached hereto unless the following box is checked.

☐ was filed on > as Application Serial Number > and was amended on > (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose information which is material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

## PRIOR FOREIGN APPLICATIONS

Number	Country	Date Filed	Priority Claimed (Yes/No)
>	>	>	>
>	>	>	>
>	>	>	>

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States Provisional application(s) listed below.

APPLICATION NUMBER	FILING DATE
>	>
>	>

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

## PRIOR UNITED STATES APPLICATIONS

Application Serial Number	Filing Date	Status

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**POWER OF ATTORNEY:**

On behalf of Mitsubishi Electric Information Technology Center America, Inc., Assignee of my entire right, title and interest, I hereby appoint the following attorney with full power of substitution to act exclusively for Mitsubishi Electric to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: Dirk Brinkman, Reg. No. 35,460.

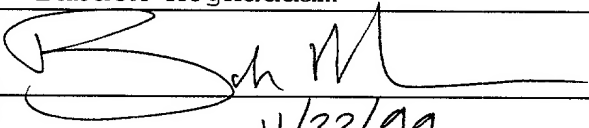
All correspondence should be addressed to:

Patent Department  
Mitsubishi Electric Information Technology  
Center America, Inc.  
201 Broadway  
Cambridge, Massachusetts 02139



MERL-1255

All telephone calls should be directed to Dirk Brinkman,  
telephone number (617) 621-7539.

Inventor's Full Name:	Baback Moghaddam
Inventor's Signature:	
Date:	11/22/99
Residence: (City, State and/or country)	15 Bigelow Street #5 Cambridge, MA 02139
Citizenship:	United States of America
Post Office Address:	15 Bigelow Street #5 Cambridge, MA 02139

MERL-1255

Inventor's Full Name:	Ming-Hsuan Yang
Inventor's Signature:	
Date:	
Residence: (City, State and/or country)	
Citizenship:	
Post Office Address:	